

HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Collections Management

This retention schedule is based on the recommendations made by the Joint Information Systems Committee. The letter indicates the final disposition of each type of record, and applies to original records. Where copies of originals are kept locally, these can be destroyed when these are no longer required.:

A = 1 copy to be transferred to the University Archive. See Retention Schedule Guidelines for further details.

D = Destroyed.

The number following the letter code indicates the period (in years) after which records may be destroyed, and is the minimum retention period required by best practice or legislation. It assumes a new file is opened at the start of each academic, calendar or financial year, and is **always** calculated from the date of the last record in the file.

Collections means collections of materials that have been generated or acquired by the institution in the course of its teaching or research work, or which have been donated to the institution for these or other purposes. This function covers the management of the institution's collections. It does **not** cover the management of the business units which are responsible for the collections or of the buildings/facilities where the collections are stored, displayed or made available to researchers.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Legislative Authority
<p>COLLECTIONS/STRATEGY</p> <ul style="list-style-type: none"> • identifying requirements for new/revise strategy • undertaking research • developing strategy proposals • consulting on strategy proposals • reviewing and revising strategy proposals in the light of comments received • drafting strategy documents • consulting on strategy documents • reviewing draft strategy documents in the light of comments received • producing final strategy documents • submitting final strategy documents for formal endorsement • formally endorsing strategy documents • disseminating strategy documents • reviewing strategy. 	<p>Key records documenting the development and establishment of the institution's collections management strategy.</p> <p>Working papers documenting development and establishment of the institution's collections management strategy.</p>	<p>A: Superseded + 5 years Copy to the University Archive after approval for permanent retention.</p> <p>D: Issue of strategy + 1 year</p>	

Records Retention Schedule for Collections Management (2)

<p>COLLECTIONS/POLICY</p> <ul style="list-style-type: none"> • identifying requirements for new/revised policy • undertaking research • developing policy proposals • consulting on policy proposals • reviewing and revising policy proposals in the light of comments received • drafting policy documents • consulting on policy documents • reviewing draft policy documents in the light of comments received • producing final policy documents • submitting final policy documents for formal approval • formally approving policy documents • disseminating policy documents • reviewing policy 	<p>Key records documenting the development and establishment of the institution's collections management policies.</p> <p>Working papers documenting development and establishment of the institution's collections management policies.</p>	<p>A: Superseded + 5 years Copy to the University Archive after approval for permanent retention.</p> <p>D: Issue of policy + 1 year</p>	
<p>COLLECTIONS/PROCEDURES</p> <ul style="list-style-type: none"> • identifying needs for new/revised procedure • undertaking research • analysing work processes • drafting procedure documents • consulting on procedure documents • reviewing draft procedure documents in the light of comments received • trialling procedure • refining procedure as a result of trials • submitting final procedure documents for formal approval • formally approving procedure documents • disseminating procedure documents • reviewing procedure. 	<p>Master copies of procedures relating to collections management.</p> <p>Development of the institution's procedures relating to collections management.</p>	<p>A: Superseded + 3 years Copy to the University Archive after approval for permanent retention.</p> <p>D: Issue of procedures + 1 year</p>	

Records Retention Schedule for Collections Management (3)

<p>COLLECTIONS/ACCESS</p> <ul style="list-style-type: none"> • devising access control systems • supervising access to collections under controlled conditions. 	Requests for access to collections.	TBC	
<p>COLLECTIONS/ACQUISITION</p> <ul style="list-style-type: none"> • receiving and appraising unsolicited collections, and returning or otherwise disposing of unwanted material • identifying and selecting collections to acquire • formally accepting/acquiring ownership of objects and adding them to collections. 	<p>Receipt, appraisal and acceptance/rejection of objects.</p> <p>Accessioning of objects into collections.</p>	<p>Current year + 10 years</p> <p>Permanent</p>	<p>SPECTRUM: Object Entry Records</p> <p>SPECTRUM: Accession Records</p>
<p>COLLECTIONS/BORROWING</p> <ul style="list-style-type: none"> • requesting loans • negotiating loan agreements • caring for borrowed objects • monitoring loans and fulfilling any agreed conditions of loan • renewing loans • returning borrowed objects. 	Loans of objects from other organisations.	Permanent	SPECTRUM: Loan Records (Incoming Loans)
<p>COLLECTIONS/CONSERVATION</p> <ul style="list-style-type: none"> • undertaking condition surveys • applying conservation treatments to preserve, repair or restore the condition of items. 	Conservation work undertaken on collections.	Life of collections	
<p>COLLECTIONS/DISPOSAL</p> <ul style="list-style-type: none"> • disposing of objects by sale, by permanent transfer to other organisations or by destruction due to damage. 	Disposal of objects.	Permanent	SPECTRUM: Object Exit Records
<p>COLLECTIONS/LENDING</p> <ul style="list-style-type: none"> • handling requests for loans • specifying terms and conditions of loans • preparing condition reports on objects before despatch and on return • monitoring loans • renewing loans. 	<p>Loans of objects to other organisations.</p> <p>Summary information about loans should be recorded in the catalogue records for the objects concerned.</p>	Return of loaned item + 10 years	SPECTRUM: Loan Records (Loans Out)

Records Retention Schedule for Collections Management (4)

<p>COLLECTIONS/ORGANISATION</p> <ul style="list-style-type: none"> creating and maintaining records of the provenance, history and care of objects. 	<p>Information about objects in collections.</p>	<p>Permanent</p>	<p>SPECTRUM: Cataloguing</p>
<p>COLLECTIONS/PROMOTION</p> <ul style="list-style-type: none"> developing guides, indexes and other interpretive materials developing and organising events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations) assembling special loan collections of items and interpretive materials to support recreational activities and educational programmes helping people to carry out research using the collections; handling enquiries about collections. 	<p>Development and maintenance of specialised finding aids to promote and facilitate access to collections.</p> <p>Design and distribution of promotional materials to raise awareness and encourage use of collections.</p> <p>Enquiries about collections and the responses given. Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.</p> <p>Selection and use of (items from) collections by institutional staff (e.g. for teaching events, publications, exhibitions).</p> <p>Selection and use of (items from) collections by third parties (e.g. for exhibitions, publications, television programmes).</p> <p>Requests for access to (items in) collections and the responses given.</p>	<p>While current</p> <p>While current</p> <p>Last action on enquiry + 1 year</p> <p>Current + 5 years</p> <p>Last action on issue + 5 years</p> <p>Last action on request + 1 year</p>	
<p>COLLECTIONS/STORAGE</p> <ul style="list-style-type: none"> devising storage control systems controlling the location and movement of objects within the institution and between the institution and other organisations. 	<p>Location and movement of objects within the institution and between the institution and other organisations.</p>	<p>Permanent</p>	<p>SPECTRUM: Location and Movement Records</p>